

BAKER BOTTS LLP

Please type a plus sign (+) inside this box → ☐

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/611,419
Filing Date	July 6, 2000
First Named Inventor	Smith et al.
Group Art Unit	1653
Examiner Name	TBA
Attorney Docket Number	A33626 067252.0105

Total Number of Pages in This Submission 69

ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☒ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):

Sequence Listing in paper and computer-readable form (diskette)

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

BakerBotts LLP
30 Rockefeller Plaza
New York, NY 10112

Signature

Rochelle K. Seide

Att Name: Rochelle K. Seide
PTO Reg: 32,300

Date

July 20, 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: July 20, 2001

Typed or printed name

Rochelle K. Seide

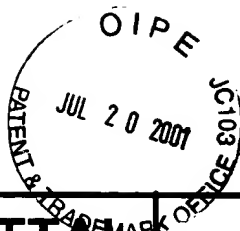
Signature

Rochelle K. Seide

Date

July 20, 2001

BAKER BOTTS LLP



TECH CENTER 1600/2900

JUL 27 2001

RECEIVED

FEE TRANSMITTAL

for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 560

Complete if Known

Application Number	09/611,419
Filing Date	July 6, 2000
First Named Inventor	Smith et al.
Examiner Name	TBA
Group Art Unit	1653
Attorney Docket No.	A33626 067252.0105

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 02-4377

Deposit Account Name Baker Botts LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee (\$)	Fee (\$)	Fee Description	Fee Paid
710	355	Utility filing fee	
320	160	Design filing fee	
490	245	Plant filing fee	
710	355	Reissue filing fee	
150	75	Provisional filing fee	

SUBTOTAL (1) (\$ 0

2. EXTRA CLAIM FEES

Total Claims 48 - 69** = 0 x 18 = 0

Independent Claims 15 - 8** = 7 x 80 = 560

Multiple Dependent _____ = _____

Large Entity Small Entity

Fee (\$)	Fee (\$)	Fee Description
18	9	Claims in excess of 20
80	40	Independent claims in excess of 3
270	135	Multiple dependent claim, if not paid
80	40	** Reissue independent claims over original patent
18	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 560

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for <i>ex parte</i> reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
390	195	Extension for reply within second month	
890	445	Extension for reply within third month	
1,390	695	Extension for reply within fourth month	
1,890	945	Extension for reply within fifth month	
310	155	Notice of Appeal	
310	155	Filing a brief in support of an appeal	
270	135	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,240	620	Petition to revive - unintentional	
1,240	620	Utility issue fee (or reissue)	
440	220	Design issue fee	
600	300	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
710	355	For each additional invention to be examined (37 CFR § 1.129(b))	
710	355	Request for Continued Examination (RCE)	
900	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0

SUBMITTED BY

Name (Print/Type) Rochelle K. Seide

Registration No. 32,300

Complete (if applicable)

Telephone (212) 408-2626

Signature

Rochelle K. Seide

Date July 20, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

BAKER BOTTS LLP

Attorney Docket Number: A33626 067252-0105

Title:

RECOMBINANT VACCINE AGAINST BOTULINUM NEUROTOXIN



RECEIVED

JUL 27 2001

TECH CENTER 1600/2900

Use Space Below for Additional Information:



RECEIVED

JUL 27 2001

FILE NO. A332626/06/25/2001/0600/2900
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Smith et al.
Serial No. : 09/611,419 Examiner : TBA
Filed : July 06, 2000 Group Art Unit: TBA
For : RECOMBINANT VACCINE AGAINST BOTULINUM
NEUROTOXIN

PRELIMINARY AMENDMENT AND
SUBMISSION OF SEQUENCE LISTING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231

July 20, 2001
Date of Deposit

Rochelle K. Seide
Attorney Name

Rochelle K. Seide
Signature

32,300
PTO Registration No

July 20, 2001
Date of Signature

07/25/2001 RHARIS1 00000017 09611419

01 FC:102

560.00 OP

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants respectfully request consideration of the above-identified application in light of the following amendments and remarks. Applicants submit herewith a Sequence Listing in paper and computer form.